

**ARIZONA DEPARTMENT OF GAMING
APPLICATION FOR RENEWAL OF CERTIFICATION
BY BUSINESS ENTERPRISE**

Date _____

The undersigned hereby makes application for an Arizona Department of Gaming Certification:

1. Name _____
Name of applicant entity (business enterprise)

Street Address _____ Telephone _____

City/State/Zip Code _____ Fax # _____

Mailing Address _____
Indicate only if different than above (include city/state/zip code)

Main Office _____
Indicate location only if different than above (include city/state/zip code)

Contact Person _____
Name Position Title E-Mail Address

(a) Trade name to be used _____

(b) If application is to replace a certification obtained under another name at the same location, state former name:

(c) Type of gaming services to be provided: (Check any of the following that apply)

☐ Gaming Services (must specify type) _____ ☐ Financing
☐ Gaming Devices: Manufacturer _____ Distributor _____ ☐ Management Services
☐ Other _____

2. Tribal Gaming Facility _____ Tribal Gaming License # _____

3. Applicant type: (Check one of the following)

☐ Corporation [☐ Sub-S ☐ C] ☐ Partnership ☐ Limited Liability Company
☐ Other _____

☐ Calendar Year End ☐ Fiscal Year End Date: _____

Federal Tax I.D. Number _____

4. Complete the following: (if the applicant is a partnership or limited liability company, furnish comparable information)

(a) State of incorporation/organization _____ Date _____
(If incorporated out of state, you must attach a current letter of good standing from the state incorporated)

(b) A general description of the nature of the business. (Attach a separate page, if necessary) _____

5. Provide the contact person's name, telephone number and mailing address, who will be responsible for your company's accounts payable and billing questions:

6. List the tax reporting status the company has for the State of Arizona.

State ID Number	Tax Type	Filing Status/List Months Current or Past Due	Amount of Tax Liability, If Past Due

(a) Do you conduct any business in Arizona off-Reservation? ☐ Yes ☐ No

(b) If the answer to 6(a) is "Yes", are you registered with the Arizona Corporation Commission? ☐ Yes ☐ No
If "No", please explain:

7. (a) List any changes in officers and directors. List any changes in shareholders who hold 10 % or more ownership, and all partners who hold 10% or more ownership **since the last State Certification**. State all titles or positions currently held with the business. Each of the persons named below are required to complete and file all required application forms and fingerprint impressions.

FULL NAME	TITLES	% OF OUTSTANDING SHARES OR OWNERSHIP

(b) Ownership: (1) ☐ Private ☐ Public

(2) Ticker Symbol _____ (3) Exchanges on which traded _____

(4) Is the business negotiating or planning any acquisitions, mergers, or a sale of the business or a subsidiary in the near future ?

If yes, provide an explanation _____

8. Terms on which securities have been issued during since the last State Certification:

DATE	TYPE OF SHARES ISSUED	NO. OF SHARES ISSUED	TYPE OF OFFERING	GROSS PROCEEDS RAISED	USE OF PROCEEDS

9. List all individuals and entities with stock options that would equal 10% or more ownership, if the options were fully exercised.

NAME	LOCATION	Number of Options

10. Remuneration to employees (other than directors and officers) exceeding \$100,000 per annum:

NAME	TITLE	REMUNERATION (ANNUAL)

11. List any sales agreements and contracts with Native American Tribes for the most recent 12 month period, including any pending sales agreements or contracts since the last State Certification:

NAME OF TRIBE	LOCATION	PURPOSE	TERMS

12. List any new, or changes in, outside experts since the last State Certification:

EXPERT	NAME AND ADDRESS	YEARS ASSOCIATED	DESCRIPTION OF RELATIONSHIP
Attorneys			
Auditors			
Bankers			
Other			

13. Since the last State Certification, to what extent is the business regulated by any state or federal government agencies? List all that apply:

14. List gaming licenses issued or pending with other jurisdictions since the last State Certification:

Important Attachments

15. **The applicant must include, with this application**, the following completed Forms ADG-902, ADG-903, ADG-906, IRS 4506 form, ADOR 285 form, and all completed application packages for officers, directors, and shareholders holding 10% or more ownership not previously submitted, and renewal packages for officers, directors, and shareholders previously certified. In addition the applicant must submit with this application the following information:
- (a) Any amendments to the Articles of Incorporation or Organization/Partnership Agreement since the last state certification (certified copy).
 - (b) Current **internal and external organizational charts**; include a description of all subsidiaries and related entities.
 - (c) Audited or reviewed financial statements since the last state certification, which include a balance sheet and income statement, prepared by an independent certified public accountant, or if the applicant is a publicly traded company, copies of all SEC filings, including but not limited to Forms 10K (must include annual reports) and Forms 10Q, since the last state certification.
 - (d) Prospectuses and registration statements, if any, issued since the last state certification.
 - (e) A summary of litigation, including case number, date, courts, all parties, subject matter, and disposition, since the last state certification.
 - (f) A summary of past and current violations, hearings and/or any concerns with obtaining a license or permit to conduct business in any gaming jurisdiction in or outside of the United States since the last state certification.
16. The applicant agrees to provide access to the following information and/or documents and to provide copies, as requested:

- (a) Authorization for the Department of Gaming to examine any and all audit work papers of the external auditors in association with any audited/reviewed financial statements of the applicant
- (b) Any amendments to the Bylaws of the applicant since the last State Certification
- (c) The minutes of all Board of Directors and Shareholder meetings since the last State Certification
- (d) The most recent shareholder list
- (e) All proxy statements since the last State Certification
- (f) General ledger trial balance
- (g) A detailed accounts receivable listing as of the date of the general ledger trial balance provided in (f) above
- (h) A detailed accounts payable listing as of the date of the general ledger trial balance provided in (f) above
- (i) A list of all customers
- (j) Any new or changes in the current real property lease agreements since the last State Certification
- (k) Copies of any new or changes in bank signature cards on all bank accounts since the last State Certification
- (l) Copies of all gaming licenses issued by other jurisdictions since the last State Certification
- (m) If the applicant is a management or financing company, operating budget and cash flow projections
- (n) Employee list, including employees terminated since the last State Certification
- (o) Copies of Federal and State Tax Returns, including all schedules, filed since the last State Certification
- (p) Any additional financial data or other information which may be deemed necessary or appropriate as determined by the Arizona Department of Gaming

17. In addition, the applicant agrees to the following:

- (a) To report to the Department of Gaming any change in corporate personnel who have been designated by the Department of Gaming as principals or key employees, within thirty (30) days after such change. [Compact requirement]
- (b) To provide, to the Department of Gaming, a copy of annual financial statements audited or reviewed by an independent certified public accountant, or if the applicant is a publicly traded company, copies of all SEC filings, including but not limited to Forms 10K (must include annual reports) and Forms 10Q, proxy statements and/or a prospectus, within thirty (30) days of their issuance.
- (c) To provide any further financial data or other information which may be deemed necessary or appropriate as determined by the Department of Gaming.

18. The Tribal-State Compact requires the payment of all fees or costs of investigation of the applicant prior to granting State Certification. The amount of such fees and costs vary on a case by case basis and often exceed the initial application fee. Monthly invoices are submitted by the Department to the applicant for such fees and costs, and must be paid in full before the certification process can be continued or completed.

19. This application may not be withdrawn without the permission of the Arizona Department of Gaming.

The obligations and informational requirements in this application are for purposes of the certification process with the Arizona Department of Gaming. The applicant is responsible for the adherence to any and all additional relevant federal, state, or tribal laws and regulations.

Cash in Bank

List Below all accounts, foreign and domestic. A sampling of all disbursements and cash receipts maybe be reviewed on site prior to the issuance of a State Certification.

Name and Address of Bank or Financial Institution	Account No.	Purpose of Account	Balance as of (Date)

State of _____)
) ss.
County of _____)

I, _____, being duly sworn, depose and say that the above statements are true and correct to the best of my knowledge and belief and that this application is executed with the knowledge that false or incomplete answers could result in criminal prosecution and the denial, or subsequent revocation, of state certification by the Arizona Department of Gaming. Further, that I am voluntarily submitting this application under oath and with full knowledge that it will be reviewed by appropriate Tribal and State authorities charged by law with granting gaming licenses and state certifications.

Applicant _____

By _____

Title _____

Subscribed and sworn to (or affirmed) before me this _____ day of _____, 20__.

Notary Public

My commission expires _____